

**STANISLAUS COUNTY CHILDREN AND FAMILIES COMMISSION**  
**POLICIES AND PROCEDURES MANUAL**  
Effective Date: September 28, 2004

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**Program Overview**

The following is the Stanislaus County Children and Families Commission's vision statement for the local Proposition 10 program:

**“All of Stanislaus County’s children will thrive in supportive, safe, nurturing, and loving environments; are healthy, eager, and ready learners; and will become productive well-adjusted members of society.”**

To implement this vision, the Commission uses funds generated by a \$.50 per pack tax on cigarettes to contract with local organizations to provide a range of services for young children, families with young children, and providers who work with them. The services provided align with the Commission's five priorities:

- 1. Health**
- 2. Safety**
- 3. School Readiness**
- 4. Quality Child Care**
- 5. Children develop in emotionally supportive family and home environments**

This Policy and Procedure Manual is being developed to guide Contractors and Commission staff as they implement the Commission's vision through the execution of program contracts.

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**OPERATIONAL POLICIES (SECTIONS 1-199)**

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**Section 1 - Confidentiality**

**Policy:**

All Commission and Contractor staff responsible for client information must protect the privacy of clients, whether in conversations, in handwritten, typed, or printed documents, or electronic data. Contractors that provide direct client services shall develop and maintain procedures that prohibit access to client data by anyone not authorized to use such data. (See also Health and Safety Code Section 130140.1 (e) (1).)

**Procedure:**

- 1.1** Contractor and Contractor's staff shall adhere to state and federal standards of maintaining the security and privacy of client records. It is the Contractor's responsibility to periodically review any other standards that may apply to its programs. Contractor shall ensure that staff are properly trained and aware of confidentiality procedures and shall ensure that equipment and procedures are adequate to protect the security of records.
- 1.2** Confidentiality policies developed by Contractor shall address the following subject areas:
  - The process used to identify staff members authorized to view, enter, or change personally identifiable client data
  - The definition of what constitutes a legitimate interest to access confidential records
  - The process used to ensure all records are updated when changes are made
  - Confidentiality measures to be taken when confidential information is obtained or conveyed orally, in writing, by fax, phone or email
  - Security measures for filed materials
  - Security measures for electronic materials
- 1.3** Violations of a client's confidentiality information and records may be grounds for contract termination and may expose the violator to civic or criminal penalties.

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**Section 2 – Commission Committees**

**Policy:**

Standing Committees shall exist to assist the Commission in formulating policies, making policy recommendations, and performing oversight functions delegated by the Commission. Ad hoc Committees shall be established to serve a time-limited issue or program specific function, such as assisting in developing responses to State Commission or Foundation initiatives.

**Procedure:**

- 2.1** Standing Committees shall be established by formal action of the Commission. The Commission will appoint members as the Commission deems necessary.
- 2.2** As it deems necessary, the Commission may also establish Ad Hoc Committees. Committee members who are not also members of the Commission shall act in an advisory capacity to the Committee and the Commission.
- 2.3** The standing Committees of the Commission are:
  - Executive
  - Administrative and Finance
  - Evaluation and Planning
  - Health and Education
- 2.4** Membership of the Executive Committee shall include the Chair and Vice-Chair of the Commission. Responsibilities of the Executive Committee shall include:
  - Direct liaison with the Chief Executive Officer
  - Direct oversight of the Executive Director
  - Liaison with the Board of Supervisors regarding Annual Report, Commission Membership, etc.
  - Developing the agenda for the regular and special meetings of the Commission
  - Recommending Commissioners to standing assignments and/or ad hoc Committees
- 2.5** Membership of the Administrative and Finance Committee shall be determined by the Commission and shall not include more than three Commissioners. Responsibilities of the Administrative and Finance Committee shall include:
  - Review and recommend to the Commission all Commission Policies & Procedures

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- Review and recommend to the Executive Director all Policies and Procedures for the Commission office
- Review and recommend for adoption to the Commission the annual Commission budget
- Review, comment, and recommend the Scope of Work and Budgets for all program contracts
- Participate in and review the Independent Annual Audit
- Monitor and recommend short and long-term management and financial projections

**2.6** Membership of the Evaluation and Planning Committee shall be determined by the Commission and shall not include more than three Commissioners. Responsibilities of the Evaluation and Planning Committee shall include:

- Review, comment, and make recommendations regarding the evaluation of projects, programs, and activities of the Stanislaus Commission and the California First Five Commission
- Develop leadership, direction and content for the Annual Commission Planning Day
- Review, comment and make recommendations regarding the Annual Report to the California First Five Commission
- Oversee the review and update of the Strategic Plan.

**2.7** Membership of the Health and Education Committee shall be determined by the Commission and shall not include more than three Commissioners. Responsibilities of the Health and Education Committee shall include:

- Making recommendations on Commission partnerships, participation and sponsorship of community events, community education, distribution of educational materials, health fairs, public information, teacher trainings, etc.
- Oversight of the development and maintenance of the Commission logo, website and collateral materials
- Liaison with the Stanislaus Children's Council, its members and committees
- Liaison with Commission-funded health and education programs, projects and services
- Liaison with other health and education groups.

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**Section 3 – Commission Meetings**

**Policy:**

All meetings of the Commission, except closed sessions permitted by law, are open and public. All Commission meetings are to conform to the Ralph M. Brown Act, including requirements for meeting notice, preparation and distribution of agendas and other written materials, inspections of public records, closed sessions and emergency meetings, at a location designated by the commission, except for those instances defined in the Ralph M. Brown Act (Section 54954).

**Procedure:**

- 3.1** Regular Commission meetings are usually scheduled on the fourth Tuesday of each month with the exception of July, November, and December. Meetings are not usually scheduled in July and November and the December meeting is usually held the first Tuesday of the month.
- 3.2** Regular monthly meeting dates and times shall be established by the Commission in January of each year. Scheduled meeting dates may be cancelled and/or rescheduled at the discretion of a majority of the Commission.
- 3.3** Special meetings of the Commission are scheduled at the discretion of the Commission Chair, or Vice Chair, or at the request of at least 4 Commission members. Special meetings of the Commission may be scheduled from time to time to receive information or complete action items related to Commission business. A written notice of a special meeting must be delivered to each Commissioner and to each local newspaper of general circulation, radio, television, or local electronic media requesting notice in writing at least 24 hours in advance of the meeting time specified in the notice. The notice shall specify the time and place of the meeting and the business to be transacted or discussed. No other business shall be considered at the Special Meeting of the Commission. The Special meeting notice shall be posted at least 24 hours prior to the Special Meeting in a location that is freely accessible to members of the public.
- 3.4** Emergency Meetings may be called by the Chair or the Vice-Chair and only under those circumstances defined in the Ralph M. Brown Act necessitating immediate action of the Commission.
- 3.5** The Commission Chair, or in his/her absence the Vice Chair, presides over Commission meetings. In the absence of the Chair or Vice Chair, the majority of Commissioners present at the meeting may choose a meeting Chair.
- 3.6** A quorum of the Commission consists of at least 5 members of the Commission. Each act or decision of the majority of Commissioners present at a meeting duly held at which a quorum is present is an official, formal action of the Commission.
- 3.7** The development of the monthly meeting agenda is the responsibility of the Executive Committee. Agenda requests from Commissioners may be addressed in writing to



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the Executive Director or to the Executive Committee. Agenda item requests must be submitted no later than 7 working days before the scheduled Commission meeting, to allow time for drafting/finalizing agenda items.

- 3.8** Public comment is welcomed at each Commission meeting and may be accepted on posted agenda items, consistent with the Ralph M. Brown Act requirements.

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**Section 4 – Annual Review of Strategic Plan / Monitoring Compliance with the California Children & Families Commission Act of 1998**

**Policy:**

Annually, the Commission shall conduct a review of the progress made towards implementing its strategic plan and shall consider changes to the plan made necessary by changing conditions. This review shall include monitoring compliance with the California Children & Families Commission Act of 1998.

**Procedure:**

- 4.1** Proposition 10, which established the funding sources and requirements of the children and families program, was codified in the State of California's Health and Safety Code as Sections 130100 – 130155. Section 130140 requires that the Stanislaus County Children and Families Commission adopt a strategic plan that is consistent with and furthers the purposes of Proposition 10. The section also requires that a periodic and regular review of Commission efforts and activities be made to document the Commission's compliance with the "California Children and Families First Act of 1998". This program compliance review can best be accomplished as a part of the Commission's annual review of its strategic plan.
- 4.2** Annually, a review of the Stanislaus County Commission's strategic plan shall be scheduled by the Executive Committee on the agenda of a regular or special Commission meeting. At the appointed time and place, the Commission will conduct a review of its strategic plan. Part of the review will be an assessment of the Commission's continuing compliance with the "California Children and Families First Act of 1998".
- 4.3** Before adopting changes to the strategic plan, the Commission will hold a public hearing to accept public comments. Following adoption of strategic plan revisions, the revised plan shall be sent to the California State First 5 Commission.

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**Section 5 – Amending These Policies and Procedures**

**Policy:**

A standard process shall be used to amend these policies and procedures of the Stanislaus County Children and Families Commission.

**Procedure:**

- 5.1** The Executive Director and Commission staff will develop drafts of new or revised policies and procedures.
- 5.2** The drafts of the new or revised policies and procedures shall be forwarded to the Administrative Committee.
- 5.3** The Administrative Committee will review the drafts submitted and take one or more of the following actions:
  - Approve and forward to the Commission for its consideration.
  - Approve with additions, deletions or corrections, and forward to the Commission for its consideration.
  - Forward to the appropriate Committee.
  - Recommend further review of the draft.

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**ADMINISTRATIVE POLICIES (SECTIONS 200-399)**

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**Section 200 – Intended Use of Funds**

**Policy:**

It is the intent of the Stanislaus County Children & Families Commission to support local not-for-profit organizations, family-care homes, community-based organizations, faith-based organizations, schools, and government programs by making funds available for services and/or projects for children 0 through 5. The purpose of this policy is to make funds available to children 0 – 5, their parents, and providers that are in the greatest need.

**Procedure:**

- 200.1** All Commission Requests for Proposals, contracts, and all sub-contracts negotiated by its Contractors will be developed under this policy.
- 200.2** The Executive Director and the Commission's Administrative and Finance Committee are responsible for implementing and executing this policy by developing RFP's and contracts consistent with this policy.

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**Section 201 – Priority in the Use of Childcare Funds**

**Policy:**

In the area of childcare, licensed providers in licensed facilities shall receive priority in the allocation childcare funds over unlicensed facilities and providers.

**Procedure:**

- 406.1** In order to increase the capacity of childcare and expand the quality of childcare, it is the intent of the Stanislaus County Children & Families Commission to expend the Commission's childcare funds to support licensed childcare providers, facilities, homes, and centers.
- 406.2** Exceptions to this policy may include, but are not limited to, funds for training, CARES stipends, and other funds that will enhance quality and lead facilities towards licensure.

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**Section 202 – Unsolicited Funding Proposals**

**Policy:**

Unsolicited funding proposals are proposals from agencies or individuals that were not invited or requested by the Stanislaus County Children and Families Commission. The proposals usually take the form of plans, budgets, or narratives that request funding from the Commission.

Unsolicited funding proposals will be accepted by the Commission from April 1<sup>st</sup> through December 31<sup>st</sup> of any year. During the month of March following this period, the Commission, at its discretion, may act on proposals received. The purpose of establishing this application and review period is to permit the Commission to consider all applications at one time. Through such a process, applications can be compared and contrasted with established Commission goals, policies, and objectives.

Unsolicited funding proposals must target children (0 through 5 years of age) and their families and must be consistent with the Commission's strategies / initiatives, as amended:

- Health
- Safety
- Emotional Health
- School Readiness
- Child Care

Emergency unsolicited funding proposals, as defined in these policies, may be considered at any time during the year at the discretion of the Commission. Requests to amend or alter existing contracts may be considered by the Commission at any time.

**Procedure:**

**202.1** Individuals or organizations wishing to submit an unsolicited funding proposal may obtain an application packet at the following address. Completed packets should be delivered to the same address.

Executive Director  
Children & Families Commission  
401E Paradise Road  
Modesto, CA 95351  
Phone: (209) 558-6218

**202.2** In March of each year, a summary of the unsolicited funding proposals received in the previous application period will be presented to the appropriate Commission Committees.

**202.3** Committees may evaluate the proposals and may make a recommendation about possible funding.

**202.4** Committees may forward their recommendation to the Commission for its consideration.

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- 202.5** Individuals or organizations submitting an unsolicited funding proposal will be notified within 10 business days following any Commission action involving the proposal.
- 202.6** Emergency unsolicited funding proposals are defined as funding opportunities with unique timing requirements or emergency/urgent situations requiring immediate Commission action. Such emergency proposals would typically involve limited-term leveraged funding opportunities (grants with a short application timeframe, for example) or actual or potential damages/impacts to a service provider (a fire, for example).
- 202.7** At the discretion of the Commission, emergency unsolicited funding proposals may be considered at any time of the year.



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**FINANCIAL POLICIES (SECTIONS 400-599)**

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**Section 400 – Credit Cards**

**Policy:**

The Stanislaus County Children and Families Commission has adopted the Stanislaus County Purchasing Card Policy. The Purchasing Card Policy allows for internal control of purchasing cards and accountability of items purchased.

**Procedure:**

- 400.1** These procedures apply to all Commission members and all Commission staff members. The Executive Director is responsible for implementing and administering this policy.
- 400.2** Purchasing cards shall remain under the control of the Executive Director or his/her designee. Cards will be issued to employees and Commissioners only for the period of time public business purchases can reasonably be expected to be made.
- 400.3** When issued, purchasing cardholders shall sign the card(s) out in a log. At the time of sign-out, the holder must state the date and purpose/use for the purchasing card.
- 400.4** Upon completion of business where the card is required, purchasing cards will be returned to the Executive Director, or his/her designee, and signed back in to the log. When the card is returned, all detailed receipts showing the item charged and the reason for the purchase will be turned in and the employee receiving the card will check the receipts for compliance with the purchasing card policy. In the event a purchasing card was used for an unallowable purpose, the cardholder will reimburse the Commission within one working day.
- 400.5** Monthly, the Executive Director will cause a reconciliation of credit card charges and credit card receipts to be completed to assure accuracy and to assure compliance with County policy. The Executive Director will sign the monthly reconciliation.

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**Section 401 – Travel Reimbursement**

**Policy:**

Members of the Stanislaus County Children and Families Commission may be allowed expenses incurred for meals, lodging, mileage, public transportation, and other expenses deemed necessary by the Executive Director while performing official Commission business (attending called meetings or authorized trips, for example). All expenses will be reimbursed in accordance with the Stanislaus County Travel Policy or as may be approved by the Executive Director or the Commission.

**Procedure:**

**401.1** Persons serving on the Stanislaus County Children and Families Commission and employees of the Commission may receive reimbursement for the following:

Mileage: The Stanislaus County Mileage Chart shall be used to obtain appropriate mileage. When it is not reasonably possible to capture accurate costs for mileage reimbursement using the Chart, claimant's odometer reading may be used, rounded to the nearest mile. The mileage reimbursement rate shall be the rate established by the County Auditor.

Travel: Travel to meetings, conferences, training, seminars and other Commission related business shall be coordinated with the Commission's Confidential Assistant. A travel authorization form must be completed detailing anticipated expenses. The form is to be signed by the Chair of the Commission or the Executive Director. The Executive Director shall sign employees' travel authorization forms.

Meals: The cost of meals will be reimbursed, subject to the limitations of the Stanislaus County Travel Policy.

Hotels Lodging accommodations should be moderate considering location, availability, meeting locations, etc. Single rates will be paid except when more than two Commissioners or employees occupy a hotel room.

**401.2** To comply with Federal requirements related to travel reimbursements, Commissioners shall complete and submit IRS Form W-9 (Request for Taxpayer Identification Number and Certification) to the Commission Accountant.

**401.3** To request a travel reimbursement, Commissioners shall complete and submit a County of Stanislaus Claim Form (known as the "blue" claim) and shall attach detailed receipts for each expense as required by the County of Stanislaus Travel policy documenting a clear business purpose. Documentation should include, but is not limited to, the following: purpose, attendees, meal type (breakfast, lunch or dinner), agenda, etc.

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- 401.4** Employees requesting a travel reimbursement shall complete the travel portion of their weekly timecard and shall attach the receipts for each expense as required by the County of Stanislaus Travel policy.
- 401.5** When requested, staff shall assist Commissioners with competing Travel Authorization forms and submitting requests for reimbursement.

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**Section 402 – Advance Payments to Contractors**

**Policy:**

Advance payments may be made to Contractors in select situations.

**Procedure:**

- 402.1** Advance payments may be granted to direct Contractors on a case-by-case basis at the discretion of the Executive Director.
- 402.2** Advances shall normally be the equivalent of 1 month anticipated expenditures.
- 402.3** An advance of more than 2 months of the annualized contract value requires the approval of the Commission.
- 402.4** When an advance payment is granted, all interest accumulated as a result of receiving such an advance shall be reinvested in the program or revert back to the Stanislaus County Children and Families Commission
- 402.5** Requests for advance payments shall be submitted to the Stanislaus County Children and Families Commission in the form of a payment schedule when the Contractor submits their annual budget.

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**Section 403 – Submission of Billing Invoices by Contractors**

**Policy:**

Billing invoices must be submitted on a timely basis throughout the year and prior to September 30<sup>th</sup> of each year.

**Procedure:**

- 403.1** Contractors scheduled to submit billing invoices to the Commission on a monthly basis shall submit the invoices 30 days from the end of the month being billed.
- 403.2** Contractors scheduled to submit billing invoices to the Commission on a quarterly basis shall submit the invoices 30 days from the end of the quarter being billed.
- 403.3** Contractors shall submit all year-end invoices (for any contracts ending during the period July 1st through June 30th) as soon as possible following the end of the fiscal year. In the event the Contractor is unable to submit an actual invoice prior to July 15th, Contractor shall submit an accurate estimate of year-end expenses the Commission can expect to be invoiced.
- 403.4** All year-end invoices must be received no later than September 30th. Invoices for the prior fiscal year that are received after September 30th will be rejected and will not be paid. Commission approval is needed to pay year-end invoices received after September 30th.
- 403.5** Once Commission staff has accepted an invoice and a determination has been made the invoice is complete, payment to Contractor shall be made within thirty (30) days.

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**Section 404 – Recovery of Payments to Contractors**

**Policy:**

In certain circumstances, actions may be taken to recover payments to Contractors. Such recovery of payments may be necessary for the Commission to fulfill its fiduciary responsibility and for good stewardship of the public funds entrusted to the Commission.

**Procedure:**

**404.1** The Commission will recover payments previously made to Contractors for reasons that include, but are not limited to, to the following:

- The invoice used as the basis for payment was in excess of allowable costs or in excess of the amounts usually charged by the Contractor or any of its subcontractors;
- Services provided were not adequately documented in the records of the Contractor or any of its subcontractors or when the intensity or quality of services provided justifies a lower level of payment;
- The invoice contained false or incorrect supporting documentation;
- The services provided were excessive or inappropriate;
- The services were provided to persons who did not meet the standards for participation in the agreement;
- The services were not covered by the agreement

**404.2** The Commission will recover payments when audit exceptions result from the actions of the Contractor or the Contractor's subcontractor.

**404.3** Staff may withhold future payments due Contractor to recover funds due Commission under this section.

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**Section 405 – Budget Revisions**

**Policy:**

Contractor's budget documents shall accurately reflect anticipated expenditures for activities to be performed. Budget amendments shall be requested as circumstances warrant and before significant changes in program design or activities are implemented.

**Procedure:**

- 405.1** Budget Revision requests must be made in writing by the Contractor and require prior approval by the Executive Director or his/her designee. To request a budget amendment, the Contractor shall submit a revised budget in writing with a narrative explaining and justifying the revision
- 405.2** Commission staff will respond in writing regarding the approval/denial of the proposed Budget Revision.



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**Section 406 – Appropriation of Funds / Unused Appropriations**

**Policy:**

It shall be the policy of the Commission to approve fiscal year appropriations for contractors. Each annual appropriation shall be the maximum amount of Proposition 10 funds available to a Contractor in a fiscal year. Appropriations for a fiscal year not used or not invoiced by a Contractor shall revert to the Commission. Unless written approval is granted by the Commission or the Commission's Executive Director, unused appropriations from one fiscal year cannot be used by a Contractor in the following fiscal year.

**Procedure:**

- 406.3** Contractors who wish to utilize unused appropriations from a fiscal year in the following fiscal year must submit a request in writing to the Commission by September 30th. The request shall include:
- A narrative explaining the need to expend unused appropriations in the following fiscal year.
  - A budget that combines the Commission approved appropriation for a fiscal year with unused appropriations from the prior fiscal year.
- 406.4** The Commission's Executive Director may approve requests to utilize unused appropriations and execute contract amendments to add the appropriations, so long as:
- The planned use of the additional appropriations is consistent with the contractual scope of work of either fiscal year.
  - The amount requested is not more than \$50,000 and is not more than 25% of the higher budget for either fiscal year.
  - The amount requested does not materially change the scope, size, capacity, or direction of the program.
- 406.5** A decision by the Commission's Executive Director to permit a Contractor to utilize prior year's unused appropriations must be reported to the Commission at its next regular meeting.
- 406.6** A Contractor whose request has been denied by the Executive Director may submit the request to the Commission.
- 406.7** Requests to utilize unused appropriations that total more than \$50,000 or equal more than 25% of the higher budget for either fiscal year may only be approved by the Commission.

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**MONITORING POLICIES (SECTIONS 600-799)**

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**Section 600 – Monitoring of Contractors**

**Policy:**

All Contractors shall be monitored on a regular basis throughout their contract period.

**Procedure:**

**600.1** Monitoring means any planned, ongoing, or periodic activity that measures and ensures Contractor compliance with the terms, conditions, and requirements of a contract. Technical assistance means to support and assist Contractors/partners in the development of those changes, alterations, adjustments and amendments that will increase the likelihood of the Contractor successfully performing under the terms, conditions, and requirements of their contract.

**600.2** Activities that will be used to monitor Contractor performance may include:

- **Periodic Contractor reporting:** Reports (not less than quarterly) in a format aligning with the Annual Report required by the State First 5 Commission.
- **Review of Contractor's audit reports:** Examination of an independent audit commissioned by the Contractor.
- **Invoice reviews:** Ensures the costs being charged are within contract parameters.
- **Onsite reviews and observations:** At least semi-annually, this may include some or all of the following: interviews with Contractor staff, interviews with clients about services received, reviews of key systems and service documentation, reviews of client case records, reviews of personnel records to ensure staff have appropriate credentials, reviews of on-site fiscal records, and observations of operations.
- **Other periodic contact with Contractor:** Miscellaneous continuous dialogue with the Contractor in the form of letters, meetings, and phone conversations.
- **Client surveys:** Concerning contract service delivery and quality.

**600.3** To have a common understanding of a contract's contents, what it is to be accomplished, contract milestones, and what is to be produced, a contract scorecard will be developed by the Contractor and Commission staff to summarize contract provisions in the areas of inputs, activities, outputs, and outcomes.

- **Inputs** include resources dedicated to or consumed by the program. Examples are money, staff and staff time, volunteers and volunteer time, facilities, equipment, and supplies. Stated as a question – "What resources do you need to perform under the contract?"

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- **Activities** describe specific methods, processes or events and tell how an activity will be carried out to achieve the intended results, for example “the Contractor will conduct parenting classes for the parents of children 0-5”. Stated as a question – “What will you do with the resources?”
- **Outputs** are the direct products of program activities and usually are measured in terms of the volume of work accomplished - for example, the number of parenting classes taught, counseling sessions conducted, educational materials distributed, participants served, etc. Outputs have little inherent value in themselves. They are important because they are intended to lead to a desired benefit for participants or target populations. Stated as a question – “How many of the activities being conducted will get done?”
- **Outcomes** are benefits or changes for individuals or populations during or after participating in program activities. They are influenced by a program's outputs. Outcomes may relate to behavior, skills, knowledge, attitudes, values, condition, or other attributes. They are what participants know, think, or can do; or how they behave; or how their condition has changed following the program. **Indicators** further define outcomes and make them observable. Indicators can be seen (i.e. observed behavior), heard (i.e. participant interview), or read (i.e. school records). Indicators are specific. They specify the outcome in quantifiable, measurable terms. They often include numbers and percentages. (Stated as questions – “What changes occur because of your activities? What indicators can be tracked to show that change occurred?)

**600.4** Once a scorecard is developed, Commission staff will utilize the scorecard as a guide when monitoring the Contractor's performance under the contract. Commission staff will compare the scorecard information to the Contractor's quarterly reports and to the observations made during site visits. If significant deviations are noted, staff may require the Contractor to take corrective action to eliminate any contract or operational deviations noted. As requested by Contractor, staff will offer support and technical assistance to Contractor to increase the likelihood of Contractor's success performing under the terms of the contract.

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**Section 601 – Monitoring of Contractors – Site Visits**

**Policy:**

Site visits will be performed at least twice per year. Program staff will review information regarding program content and effectiveness and will document site visits in writing. Accounting staff will review fiscal processes and policies of Contractors and will document site visits in writing.

**Procedure:**

**601.1** Staff will review the program operation documentation provided by the contractor and compare it to the contractual scope of work and the scorecard. Documentation to monitor Contractor performance may include:

- Announcements about training sessions, workshops, seminars
- Sign in sheets
- Parent surveys
- Activity reports
- Summaries of clients served

The emphasis of the staff review at the Contractor's work site will be on inputs, activities, and outputs. Efforts to analyze program outcomes will be undertaken at a later time.

**601.2** Staff will issue a report following each site visit detailing first hand observations and what was discussed with the Contractor. The report, which will include an assessment of Contractor's efforts to comply with the contract's scope of work and scorecard, will be filed in a Program Monitoring binder. The binder will be kept in the Commission's administrative offices. Site visit reports and a log of communications with the Contractor may be included in an electronic database, which will allow all staff to review the progress of the Contractor's activities.

**601.3** Following a site visit, staff may develop a corrective action plan with time specific and measurable goals or activities for the Contractor to perform in order to correct operational or contractual deficiencies. Any such plan developed will focus on activities and services provided by the Contractor and changes needed in order for the Contractor to comply with the agreed upon scope of work.

**601.4** Following each site visit, staff will send a letter to the Contractor detailing what was observed and discussed. The letter will contain any action plan or corrective plan developed and will contain a list of the subjects or items to be reviewed or discussed during the next site visit.

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**Section 602 – Corrective Action by Contractors**

**Policy:**

Contractors with significant deviations in planned performance shall be required to develop and implement corrective actions.

**Procedure:**

**602.1** Corrective action means action taken by the Contractor that corrects identified deficiencies or produces recommended improvements. Corrective action is suggested when identified deficiencies are serious (for example, a failure to ensure client health or safety) or where less formal means have failed. Examples of issues requiring corrective action include:

- Significant audit or monitoring findings
- Inferior quality of services
- Failure to perform all or part of the contract
- Late performance
- Late submission of reports or invoices on a recurring basis
- Inadequate, unclear, or excessive billing.

**602.2** When an item or issue is noted that needs correction, Commission staff is to:

- Notify the Contractor both verbally and in writing that a problem has been identified.
- Clearly identify the problem verbally and in writing using dates, number of occurrences, or other data that quantifies the problem. For example, "Paragraph 4 of your Contract states that you must submit a report by the 5th of each month. Your reports for May, June, and July were all submitted over 5 weeks after the due date, and we have not yet received your August report."
- Ask the Contractor to advise how the problem will be corrected.
- Notify the Contractor of expectations for correcting the problem. If appropriate, ask the Contractor to submit a corrective action plan, including dates when corrective action will be completed.
- Document conversations with the Contractor by way of a memo to the contract file.

**602.3** While a Contractor is working to correct a problem, Commission staff will offer advice, assistance, and support to encourage a successful resolution of the problem. Commission staff will track all corrective action to completion and will consult with the Contractor when requested.

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- 602.4** When the corrective action resolves the issue, Commission staff shall notify the Contractor in writing that resolution has been achieved. A copy of such a letter shall be included in the in the contract file.
- 602.5** If a deadline is missed or corrective action is otherwise not completed, Commission staff will notify the Contractor in writing that a deadline has been missed and ask the Contractor when the action will be completed. The Contractor will be advised that failure to comply with the corrective action plan could lead to termination of the contract. Staff will notify the Commission of the failure of the Contractor to perform in accordance with the agreement and/or any plan of correction. The matter may be scheduled for formal Commission action.

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**Section 603 – Documentation by Contractors**

**Policy:**

Each Contractor, if applicable, will have a tracking/filing system and other procedures in place for documenting the client's assessment/contacts, including interventions, follow-up, and outreach/waiting lists.

**Procedure:**

**603.1** The Contractor's staff shall document all services provided to participants under the agreement with the Commission.

**603.2** Documentation includes:

- Date, time, purpose, and site of contact.
- The name and title of the person making the contact.
- Pertinent details, including the ongoing assessment, intervention, referrals, and outcomes.
- Client responses to interventions.
- Any other pertinent details.
- Commonly used abbreviations, acceptable terminology.
- The complete signature and title of the staff person entering the data on the client.

**603.3** The client record, including all copies, should be kept in a secure location at the program site that is inaccessible to unauthorized persons.

**603.4** Client records should be kept for a minimum of five (5) years from the date of final payment under the agreement.

**603.5** Client records and program documentation shall be available to representatives of the Stanislaus Children and Families Commission.



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**Section 604 – Audits of Contractors**

**Policy:**

Annually, each Contractor shall be responsible for the procurement and completion of an annual fiscal and compliance audit.

**Procedure:**

- 604.1** The annual audit must be performed in accordance with the following standards, as deemed appropriate: Generally Accepted Auditing Standards (GAAS), Governmental Auditing Standards (GAS) and OMB Circular A133.
- 604.2** The audit of a public agency, when performed pursuant to state law, will meet the requirement of this Policy and Procedure.
- 604.3** Contractor is responsible for submitting to the Commission an audit report, prepared in accordance with said requirements, within one hundred and eighty (180) days of the end of the commission's fiscal year along with a copy of any management report prepared as a result thereof.
- 604.4** In the event of an audit exception or exceptions, the Contractor shall be responsible for reimbursing the Commission for audit exceptions resulting from the actions of the Contractor or the Contractor's subcontractors.

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